



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Docket P1765R1

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In re Application of P. Mickey Williams et al. Serial No.: 09/613,972 Filed: July 11, 2000 For: PROMOTION OR INHIBITION OF ANGIOGENESIS AND CARDIOVASCULARIZATION BY TUMOR NECROSIS FACTOR LIGAND/RECEPTOR HOMOLOGS	Group Art Unit: 1646 Examiner: To Be Assigned CERTIFICATE OF MAILING I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on February 2, 2001 Eileen Ly
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INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

Applicants submit herewith patents, publications or other information (attached hereto and listed on the attached revised Form PTO-1449) of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR §1.56.

This Information Disclosure Statement is filed in accordance with the provisions of:

☒ **37 CFR §1.97(b)**

- within three months of the filing date of the application other than a continued prosecution application under 37 CFR §1.53(d); or
- within three months of the date of entry of the national stage of a PCT application as set forth in 37 CFR §1.491, or
- before the mailing of the first Office action on the merits; or
- before the mailing of the first Office action after the filing of a request for a continued examination under 37 CFR §1.114.

☐ **37 CFR §1.97(c)**

- by the applicant after the period specified in 37 CFR §1.97(b), but prior to the mailing date of any of a final action under 37 CFR §1.113, or a notice of allowance under 37 CFR §1.311, or an action that otherwise closes prosecution in the application, and is accompanied by either the fee set forth in 37 CFR §1.17(p) or a statement as specified in 37 CFR §1.97(e), as checked below.

☐ **37 CFR §1.97(d)**

- after the period specified in CFR §1.97(c), and is accompanied by the fee set forth in 37 CFR §1.17(p) and a statement as specified in 37 CFR §1.97(e), as checked below.

[If either of boxes 37 CFR §1.97(c) or 37 CFR §1.97(d) is checked above, the following statement under 37 CFR §1.97(e) may need to be completed.]

- ☐ **37 CFR §1.97(e)** Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.
- ☐ **37 CFR §1.704(d)** Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and the communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of this information disclosure statement. Therefore, in accordance with the provisions of 37 CFR §1.704(d), the filing of this information disclosure statement will not be considered a failure to engage in reasonable efforts to conclude prosecution under 37 CFR §1.704.
- ☐ The U.S. Patent and Trademark Office is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$180.00 to cover the cost of this Information Disclosure Statement under 37 CFR §1.17(p). Any deficiency or overpayment should be charged or credited to this deposit account.

A list of the patent(s) or publication(s) is set forth on the attached revised Form PTO-1449 (Modified).

A copy of the items on PTO-1449 is supplied herewith.

Those patent(s) or publication(s) which are marked with an asterisk (*) are not supplied.

☐ BLAST results enclosed:

The undersigned also wishes to bring to the attention of the Examiner BLAST results of computerized alignments of the against sequences contained in the nucleotide and protein databases. The BLAST results are provided in paper form and are identified as reference "BLAST Results A-1- A-()" (nucleotide) and "BLAST Results B-1 - B-()" (protein) on the PTO Form 1449. Applicant requests that these references also be considered and that the Form 1449 be initialed to indicate the Examiner's consideration of the references.

A concise explanation of relevance of the items listed on PTO-1449 is:

- ☐ not given
- ☐ given for each listed item

☒ given for only non-English language listed item(s) [Required]

For item number 9 (EP 417,563), an English abstract is attached.

For item number 14 (JP 3130299), an English abstract is attached.

☐ in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references.

In accordance with 37 CFR §1.97(g), the filing of this information disclosure statement shall not be construed as a representation that a search has been made.

In accordance with 37 CFR §1.97(h), the filing of this information disclosure statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR § 1.56(b).

In the event that the Office determines a fee to be due where none is specifically authorized in this paper, the U.S. Patent and Trademark Office is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$180.00 to cover the cost of this Information Disclosure Statement under 37 CFR §1.17(p).

Respectfully submitted,

GENENTECH, INC.

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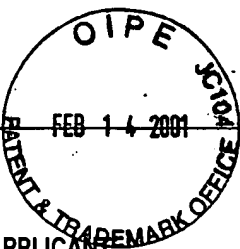
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FORM PTO-1449

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09/613,972

LIST OF DISCLOSURES CITED BY APPLICANT

(Use several sheets if necessary)

Applicant

Williams et al.

Filing Date

11 Jul 2000

Group

1646

U.S. PATENT DOCUMENTS

Examiner Initials		Document Number	Date	Name	Class	Subclass	Filing Date
	1	5,573,762	12.11.96	Ferrara et al.			
	2	5,610,134	11.03.97	Clark et al.			
	3	5,624,806	29.04.97	Baker et al.			
	4	5,661,122	26.08.97	Clark et al.			
	5	5,773,223	30.06.98	Shyamala et al.			
	6	5,773,414	30.06.98	Cody et al.			
	7	5,998,171	07.12.99	Yu et al.			

FOREIGN PATENT DOCUMENTS

Examiner Initials		Document Number	Date	Country	Class	Subclass	Translation Yes No
	8	370,989 ✓	30.05.90	EPO			
	9	417,563 ✓	20.03.91	EPO (ENGLISH ABSTRACT ATTACHED)			
	10	457,195 ✓	15.04.98	EPO			
	11	460,679 ✓	28.10.98	EPO			
	12	471,754B ✓	31.07.96	EPO			
	13	552,489 ✓	04.03.98	EPO			
	14	3130299 ✓	04.06.91	JAPAN (ENGLISH ABSTRACT ATTACHED)			
	* 15	PCT/US 00/13705	17.05.00	PCT			
	16	WO 00/53753 ✓	14.09.00	PCT			
	17	WO 95/28173 ✓	26.10.95	PCT			
	18	WO 96/17931 ✓	13.06.96	PCT			
	19	WO 96/30046 ✓	03.10.96	PCT			
	20	WO 97/01633 ✓	16.01.97	PCT			
	21	WO 97/25428 ✓	17.07.97	PCT			
	22	WO 98/06842 ✓	19.02.98	PCT			
	23	WO 98/07880 ✓	26.02.98	PCT			
	24	WO 98/45332 ✓	15.10.98	PCT			
	25	WO 99/25834 ✓	27.05.99	PCT			
	26	WO 99/40196 ✓	12.08.99	PCT			

OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages, etc.)

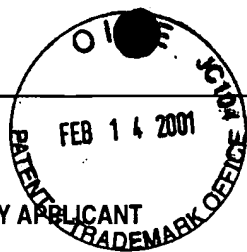
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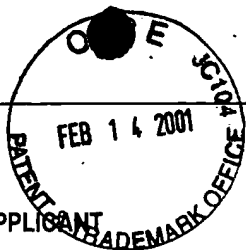
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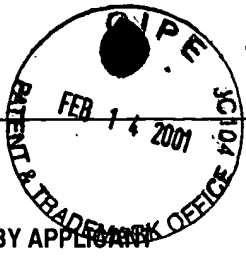
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